

BRUCE SENATOR F-99302
 California Men's Colony
 P.O. Box 8103
 San Luis Obispo, CA
 93403-8103

FILED
 AUG 28 2008

RICHARD W. WIEGERT
 CLERK U.S. DISTRICT COURT
 NORTHERN DISTRICT OF CALIFORNIA
 540

UNITED STATES DISTRICT COURT
 NORTHERN DISTRICT OF CALIFORNIA

E-filing

Bruce Senator : CV 08-4122
 Petitioner : (S.E.C. No. SF-1270451)
 v. PETITION FOR INJUNCTION
 VRW

UNITED STATES OF AMERICA; OTHER RELATED COMPANIES;
 SECURITIES and EXCHANGE COMMISSION TO INVESTIGATE
 COMMERCIAL BANK ACCOUNTS FOR MISSING
 Respondent : REGISTERED SECURITIES (PR)

Petitioner, Bruce Senator, hereby files this petition
 pursuant to the Civil Rights Act of 1985 and
 states relevant facts as follows: On 08/28/2008, Petitioner
 responded to a subpoena to turn over information
 into connection for International Amaranth (IAMA)
 International Transaction (IITA) for the sale of
 securities relating to IITA and IMA (IAMA)
 Senator; Ten (10) certificates worth one (1) acre
 shares in IITA and IMA (IAMA) for a total value of
 \$10,000.00. The total value of the shares is \$3,000.00.

At Exhibit A is the "Form Of Waiver And
Demand For Investigation And Other Proceedings" filed with
the Securities and Exchange Commission (hereinafter "Form")
dated August 28, 2008.

The S.E.C. issued a letter dated August 28, 2008
refusing to investigate Exhibit A.

The S.E.C. found that this is not amissible action
whereby securities can decline, probably without
issue in practice on first passing.

In this action, Plaintiff, Securities of the market
of NYSE, filing a complaint.

- (a) Not Declined
- (b) Not Pending
- (c) Found Decline and then no recent
behavior is that decline in the market
- (d) Verification of decline in the market
- (i) Valid
- (ii) Related to financial statement, consider
and the financial statement, this result
- (e) Explanation of decline in financial statement
and the financial statement, this result
- (f) The result by Miller, Miller, Miller, and the attorney
Miller, law firm, to "Never have done this."

This is also known to be a test case of corruption
to commit crime, and this is also known to be a test case
to see who is the winner.

2. Right to compensation - a fundamental right from the S.E.C. which will be implemented by the law. Clean the mess we face in our rest areas, within the community, immediately and resolution imminent at the S.E.C. pursuant to its authority, the Protection of the Environment and Solid Waste Management Act of 1989 and Section 14 of the Environment Act of 1986.

DAVID KIRKBY STEPHEN RENNY, BIRMINGHAM, ENGLAND
LAWYERS, REPUTED

Any other method than that of the method of least squares is judicious.

Signed & Viewed & Read During Present Visit
Aug 11, 1964 1300000000

EXHIBIT A

EXHIBIT A

SHORT TITLE: BRUCE SENATOR F-99302 CALIFORNIA MEN'S COLONY P.O. Box 8103 San Luis Obispo, Ca 93403-8103	CASE NUMBER:
---	--------------

1

2

3

SECURITIES EXCHANGE Commission

4

5

BRUCE RICHARD SENATOR

No: _____

6

Claimant

7

u

CLAIM OF WRONGDOING AND

8

KEVIN MICHAEL SENATOR

DEMAND FOR INVESTIGATION

9

CAROL SENATOR RUDAT

WITH PROSECUTION

10

OFFENDERS

11

12

Pursuant to the attached 'civil' filing from
 Orange County Superior Court - STATE OF CALIFORNIA
 (No. 00102217), I, BRUCE R. SENATOR demand a
 full investigation and accounting for all securities
 which were in the name of our father, FRANK EDWARD
 SENATOR on the day of his death, Sept 10, 1990.

20

21

In the attached civil court filing are ATTACHMENTS: 1-4
 which delineate the unwillingness to divulge the necessary
 information regarding specific registered securities from
 INTERNATIONAL HARVESTER (NAVISTAR INTERNATIONAL TRANS-
 PORTATION).

22

23

24

25

26

(Required for verified pleading) The items on this page stated on information and belief are (specify item numbers, not line
 numbers):

27

[REDACTED]

Page 1

SHORT TITLE:	CASE NUMBER:
--------------	--------------

1 TEN (10) certificates in the name of FRANK SENATOR
 2 (a.k.a. FRANK E. SENATOR; FRANK EDWARD SENATOR). One
 3 thousand shares each certificate, at \$30 per value per share
 4 10,000 shares = \$300,000 per value ... in registered
 5 securities Sept 10, 1990 ... and neither transfer agent
 6 (Computershare or Mellon) can account for the disappearance
 7
 8

9 This will be the tip of the iceberg as evidence shows
 10 many other stocks 'converted' unlawfully by KEVIN
 11 MICHAEL SENATOR and CAROL SENATOR RUDART, possibly
 12 unlawfully, into the name of CATHERINE SENATOR (a.k.a.
 13 CATHERINE D. SENATOR; CATHERINE DIDENEDETTO SENATOR).

15 CURRENT addresses:

16 KEVIN MICHAEL SENATOR
 17 3366 Blackhawk Meadow Drive
 18 Danville, CA 94506

16 CAROL SENATOR RUDART
 17 78 Archipelago
 18 Newport Coast, CA 92657

20
 21 CATHERINE SENATOR
 22 5484-A Paseo de Lago West
 23 Lagoon Woods, CA 92637

26 (Required for verified pleading) The items on this page stated on information and belief are (specify item numbers, not line numbers):

27 This page may be used with any Judicial Council form or any other paper filed with the court.

Page 2

SHORT TITLE:	CASE NUMBER:
--------------	--------------

1
2 As a full beneficiary in the ESTATE OF FRANK E.
3 SENATOR (Orange County Superior Court - PROBATE DEPT. -
4 341 City Dr. Sa. Orange, Ca 92863; CASE No. A-187925),
5 I, Bruce R. Senator have a vested interest in partial
6 ownership of these unlawfully converted stocks.
7

8 These stocks could not be converted, without
9 unlawful means.
10

11 It is pendent upon the SECURITIES EXCHANGE
12 Commission to track down what occurred, when, by
13 whom, ... and to seek corrective measures, including sanctions
14 to any person or entity involved in unlawful activities.
15

16 My father's information, at time of death was:
17

18 FRANK EDWARD SENATOR

19 Born: 4-8-1922

20 Died: 9-10-1990

21 1823 N. SHARROCK PL.

22 P.O. Box 5052

23 ORANGE CA 92865

24 ORANGE CA 92863

25 SIGNED & VERIFIED TRUE & CORRECT UNDER PENALTY OF PERJURY:
26

March 30, 2008 Bruce Senator / Bruce Senator

27 (Required for verified pleading) The items on this page stated on information and belief are (specify item numbers, not line numbers):

This page may be used with any Judicial Council form or any other paper filed with the court.

Page 3

ATTACHMENT: 1

ATTACHMENT: 1

Jan. 15, 2008

BRUCE SENATOR

F-99302

Wasco State Prison

P.O. Box 6600

Wasco, Ca. 93280-6600

Computershare

Am. Account Investigation Dept

102 5th Ave 3010

Long Island, NY 11101

Re: Estate of FRANK E. SENATOR

(Orange County Superior Court - Probate Dept: A-157425)

Ladies and Gentlemen,

I am writing regarding your Nov. 15, 2007 reply to my subpoena duces tecum dated Nov. 8, 2007 in this matter, (your reference number 01914194).

Mr. H. Miller (Attalaire) with 9-31-5240

at which time Plaintiff's Lawyer took out

2) In the mid 1990s I found ten (10) certificates as follows:

a) International Harvester

b) Each had a separate certificate/registration #.

c) Each had my father's name imprinted, either as
FRANK SENATOR, or FRANK E. SENATOR, or
FRANK EDWARD SENATOR

(\\$300,000) d) Verified 10 cents, at 1,000 shares each, at \$30 Par Value/share.

3x I personally called the transfer agent by telephone, what:

- a) Verified cash and stocks as above, as registered
- b) Verified ownership to my father as current
- c) Informed of the 10:1 revenue stock split
<loss of \$270,000 due to Probate Fraud>

These stocks were held by my father, at home in his locked
cabinet, and NOT via a broker or institution. If this situation
was changed after his death Sept 19, 1990:

- a) It was unlawful, as no such Probate Court order exists.
- b) There must be, by law (sec 500) a clear 'audit trail'

My home address is 1000 E. 10th Street, Orange, CA 92701-5052

Track EVERYTHING down and have full results in my hands
in 10 calendar days, or I bring in the F.B.I. and S.E.C.

Thank You

Once and for all

2/22

ATTACHMENT: 2

ATTACHMENT: 2



November 15, 2007

**ANTHONY MORGAN
ATTORNEY AT LAW
12672 LINTONITE, SUITE 3E-327
CORONA, CA 92880**

**UNKNOWN
ESTATE OF FRANK E. SENATOR
ACCOUNT NUMBER: none**

Dear Mr. Morgan:

We are in receipt of the Subpoena regarding the case of Estate of Frank E. Senator, a copy of which is enclosed for your convenience.

After examining our records, we do not show an account with the information you have provided.

The shares may be held through a broker or other financial institution. If so, please contact them directly regarding your shares. If the shares are not held through a broker, and you would like us to investigate more, please provide us with all the shareholder information, account number, TID, name of stock, etc., and return it to us at:

**Computershare
Attn: Account Investigation Department
P. O. Box 43010
Providence, RI 02940**

Should you have any questions, please call us at 1-800-736-3001. Our telephone representatives are available Monday through Friday between the hours of 8:30am to 5pm Eastern Time. If you have Internet access, you may also obtain additional information on products and services by visiting our web site at www.computershare-us.com. You may also write to us at Computershare, P.O. Box 43010, Providence, RI 02940-3010.

Sincerely,

A handwritten signature in black ink that appears to read "Jeanne M. Alexander".
**Jeanne M. Alexander
Manager, Shareholder Services**

Reference Number: 01914194

Enclosure(s): Copy of Original Form

ATTORNEY OR PARTY WITHOUT ATTORNEY (Name, State Bar number, and address)		SUBP-010
Bruce Senator 2349534 (E67725) 550 N. Flower St. Santa Ana, Ca. 92703 TELEPHONE NO. _____		RECEIVED
FAX NO. (Optional): _____		NOV 13 2007
E-MAIL ADDRESS (Optional): _____		COMPUTERSHARE LEGAL DEPT.
ATTORNEY FOR (Name): Bruce Senator in Pro Per		
SUPERIOR COURT OF CALIFORNIA, COUNTY OF ORANGE		
STREET ADDRESS: 341 City Dr. S MAILING ADDRESS: P.O. Box 14171 CITY AND ZIP CODE: ORANGE, CA 92863-1571 BRANCH NAME: PROBATE		
PLAINTIFF/PETITIONER: ESTATE of FRANK E. SENATOR		
DEFENDANT/RESPONDENT: _____		
DEPOSITION SUBPOENA FOR PRODUCTION OF BUSINESS RECORDS		CASE NUMBER: A-157925

THE PEOPLE OF THE STATE OF CALIFORNIA, TO (name, address, and telephone number of deponent, if known):

COMPUTERSHARE Shareholder Services P.O. Box 43070 Providence, RI 02946

1. YOU ARE ORDERED TO PRODUCE THE BUSINESS RECORDS described in Item 3, as follows: (800) 756-8600

To (name of deposition officer): **ANTHONY MORGAN, Attorney at Law**

On (date): **December 14, 2007** At (time): **10:00 A.M.**

Location (address): **12672 LIMITE Suite 300-327 Corona, Ca 92880**

Do not release the requested records to the deposition officer prior to the date and time stated above.

- a. by delivering a true, legible, and durable copy of the business records described in Item 3, enclosed in a sealed inner wrapper with the title and number of the action, name of witness, and date of subpoena clearly written on it. The inner wrapper shall then be enclosed in an outer envelope or wrapper, sealed, and mailed to the deposition officer at the address in Item 1.
- b. by delivering a true, legible, and durable copy of the business records described in Item 3 to the deposition officer at the witness's address, on receipt of payment in cash or by check of the reasonable costs of preparing the copy, as determined under Evidence Code section 1563(b).
- c. by making the original business records described in Item 3 available for inspection at your business address by the attorney's representative and permitting copying at your business address under reasonable conditions during normal business hours.

2. The records are to be produced by the date and time shown in Item 1 (but not sooner than 20 days after the issuance of the deposition subpoena, or 15 days after service, whichever date is later). Reasonable costs of locating records, making them available or copying them, and postage, if any, are recoverable as set forth in Evidence Code section 1563(b). The records shall be accompanied by an affidavit of the custodian or other qualified witness pursuant to Evidence Code section 1561.

3. The records to be produced are described as follows:

**Entire history of International Harvester stocks purchased by
Frank E. Senator (Frank E. Senator)**

4. You are advised that if you are a consumer or employee of a consumer or employee records under California law, you have the right and a duty to object or an objection has been filed. If you object, you must file a copy of your objection with the parties, witness, and consumer or employee affected must be obtained before you are required to produce consumer or employee records.

DISOBEDIENCE OF THIS SUBPOENA MAY BE PUNISHED AS CONTEMPT BY THIS COURT. YOU WILL ALSO BE LIABLE FOR THE SUM OF FIVE HUNDRED DOLLARS AND ALL DAMAGES RESULTING FROM YOUR FAILURE TO OBEY.

Date issued: **Nov. 8, 2007**
Bruce Senator
(TYPE OR PRINT NAME)

Bruce Senator
(SIGNATURE OF PERSON ISSUING SUBPOENA)

(Proof of service on reverse)

Page 1 of 2

ATTACHMENT: 3

ATTACHMENT: 3



Mellon

Mellon Investor Services

(201) 680-2152 tel
(201) 680-4610 fax
harris.wa@mellon.com

December 13, 2007

Via First Class Mail

Anthony Morgan, Esq.
Attorney At Law
12672 Limonite
Suite 3E-327
Corona, CA 92880

**Re: The Estate of Frank E. Senator
Case No.: A-157925**

Dear Mr. Morgan:

This letter is in response to the Subpoena dated November 7, 2007, issued to Mellon Investor Services LLC ("Mellon") in connection with the above referenced matter.

We have searched our records and located no responsive information for Frank E. Senator.

If there are any questions concerning this response, please feel free to contact Eva Salo at (201) 680-2176.

Very truly yours,


William A. Harris
Assistant General Counsel

WAH:ems

480 Washington Boulevard • Jersey City, NJ 07310
(201) 680-4000 Office
www.mellon.com

A Mellon Financial Company.™

ATTACHMENT: 4

ATTACHMENT: 4

SUBP-010

ATTORNEY OR PARTY WITHOUT ATTORNEY (Name, State Bar number, and address): BRUCE SENATOR 2344534 (F67225) 550 N. Flower St. Santa Ana, Ca. 92703		FOR COURT USE ONLY
TELEPHONE NO.: E-MAIL ADDRESS (Optional): ATTORNEY FOR (Name): BRUCE SENATOR in Pro Per		
SUPERIOR COURT OF CALIFORNIA, COUNTY OF ORANGE STREET ADDRESS: 341 CITY DR. S MAILING ADDRESS: P.O. Box 14171 CITY AND ZIP CODE: ORANGE 92863-1571 BRANCH NAME: PROBATE		
PLAINTIFF/PETITIONER: ESTATE of FRANK E. SENATOR DEFENDANT/RESPONDENT:		
DEPOSITION SUBPOENA FOR PRODUCTION OF BUSINESS RECORDS		CASE NUMBER: A-157925

THE PEOPLE OF THE STATE OF CALIFORNIA, TO (name, address, and telephone number of deponent, if known):

MELLON INVESTOR SERVICES 500 ROSS ST, 6th fl, PITTSBURGH, PA 15219

1. YOU ARE ORDERED TO PRODUCE THE BUSINESS RECORDS described in item 3, as follows: **(888) 884-9359**

To (name of deposition officer): **ANTHONY MORGAN, ATTORNEY AT LAW**
On (date): **December 14, 2007** At (time): **10:00 A.M.**
Location (address): **12672 LIMONITE Suite 3E-327 Corona, Ca. 92880**

Do not release the requested records to the deposition officer prior to the date and time stated above.

- a. by delivering a true, legible, and durable copy of the business records described in item 3, enclosed in a sealed inner wrapper with the title and number of the action, name of witness, and date of subpoena clearly written on it. The inner wrapper shall then be enclosed in an outer envelope or wrapper, sealed, and mailed to the deposition officer at the address in item 1.
- b. by delivering a true, legible, and durable copy of the business records described in item 3 to the deposition officer at the witness's address, on receipt of payment in cash or by check of the reasonable costs of preparing the copy, as determined under Evidence Code section 1563(b).
- c. by making the original business records described in item 3 available for inspection at your business address by the attorney's representative and permitting copying at your business address under reasonable conditions during normal business hours.

2. The records are to be produced by the date and time shown in item 1 (but not sooner than 20 days after the issuance of the deposition subpoena, or 15 days after service, whichever date is later). Reasonable costs of locating records, making them available or copying them, and postage, if any, are recoverable as set forth in Evidence Code section 1563(b). The records shall be accompanied by an affidavit of the custodian or other qualified witness pursuant to Evidence Code section 1561.

3. The records to be produced are described as follows:

Entire history of International Harvester/Navistar stocks purchased by
Continued on Attachment 3. FRANK EDWARD SENATOR (FRANK E. SENATOR)

4. IF YOU HAVE BEEN SERVED WITH THIS SUBPOENA AS A CUSTODIAN OF CONSUMER OR EMPLOYEE RECORDS UNDER CODE OF CIVIL PROCEDURE SECTION 1985.3 OR 1985.6 AND A MOTION TO QUASH OR AN OBJECTION HAS BEEN SERVED ON YOU, A COURT ORDER OR AGREEMENT OF THE PARTIES, WITNESSES, AND CONSUMER OR EMPLOYEE AFFECTED MUST BE OBTAINED BEFORE YOU ARE REQUIRED TO PRODUCE CONSUMER OR EMPLOYEE RECORDS.

DISOBEDIENCE OF THIS SUBPOENA MAY BE PUNISHED AS CONTEMPT BY THIS COURT. YOU WILL ALSO BE LIABLE FOR THE SUM OF FIVE HUNDRED DOLLARS AND ALL DAMAGES RESULTING FROM YOUR FAILURE TO OBEY.

Date issued: **Nov. 7, 2007**
BRUCE SENATOR
(TYPE OR PRINT NAME)

Bruce Senator
(SIGNATURE OF PERSON ISSUING SUBPOENA)

(Proof of service on reverse)

Beneficiary in Pro Per

Page 1 of 2

SUBP-010

PLAINTIFF/PETITIONER:	ESTATE OF FRANK E. SENATOR	CASE NUMBER:
DEFENDANT/RESPONDENT:	A-157925	

**PROOF OF SERVICE OF DEPOSITION SUBPOENA FOR
PRODUCTION OF BUSINESS RECORDS**

1. I served this *Deposition Subpoena for Production of Business Records* by personally delivering a copy to the person served as follows:

a. Person served (name): *Mellon Investor Services - Shareholder Relations Dept*

b. Address where served: *500 Ross St, 6th Fl, Pittsburgh, PA 15219*

c. Date of delivery: *mailed Nov 7, 2007*

d. Time of delivery: *7:00 A.M.*

e. (1) Witness fees were paid.
Amount: \$ *N/A*
(2) Copying fees were paid.
Amount: \$ *N/A*

f. Fee for service: \$ *N/A*

2. I received this subpoena for service on (date): *Nov 7, 2007*

3. Person serving:

a. Not a registered California process server.
b. California sheriff or marshal.
c. Registered California process server.
d. Employee or independent contractor of a registered California process server.
e. Exempt from registration under Business and Professions Code section 22350(b).
f. Registered professional photocopier.
g. Exempt from registration under Business and Professions Code section 22451.
h. Name, address, telephone number, and, if applicable, county of registration and number:

*Bruce Senator
23411534 (F67725)
550 N. Flower St.
Santa Ana, Ca. 92703*

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date: *Nov. 7, 2007*

(SIGNATURE)

(For California sheriff or marshal use only)
I certify that the foregoing is true and correct.

Date:

(SIGNATURE)

EXHIBIT: B

EXHIBIT: B



United States
Securities and Exchange Commission
SAN FRANCISCO DISTRICT OFFICE
44 Montgomery Street, Suite 2600
San Francisco, CA 94104
(415) 705-2500
sanfrancisco@sec.gov
April 9, 2008

SF-1270951

Bruce Senator, F-99302
California Men's Colony
P.O. Box 8103
San Luis Obispo, CA 93403

Dear Mr. Senator:

Thank you for your inquiry.

We are unable to help you because the issue you've raised is not one that we deal with at the Securities and Exchange Commission. It appears that your matter is a private dispute between you and Kevin Senator, Carol Senator Rudat and Catherine Seantor and would not fall within the scope of the federal securities laws. The SEC regulates and enforces the federal laws that govern the sale and trading of stocks, bonds, mutual funds, and other securities. We have a Web site, www.sec.gov that explains in great detail what we do.

Please be advised that this agency is not empowered to arbitrate private disputes or intercede on behalf of a private party to recover losses or otherwise act as a collection agency for an individual. The SEC also is not authorized to give legal advice or representation to private parties, if you have questions concerning your specific legal rights, you may want to consult with an attorney. If you decide to hire a lawyer and need help in finding one, we have also enclosed some information on possible sources of legal assistance.

Once again, thank you for contacting us.

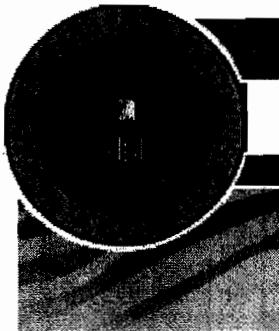
Sincerely,

A handwritten signature in black ink, appearing to read "Cheryl M. Lawson".

Cheryl M. Lawson
Investor Assistance Specialist

EXHIBIT: C

EXHIBIT: C



[Home](#) | [Jobs](#) | [Fast Answers](#) | [Site Map](#) | [Search](#)

U.S. Securities and Exchange Commission

The Investor's Advocate: How the SEC Protects Investors, Maintains Market Integrity, and Facilitates Capital Formation

About the SEC

What We Do
Commissioners
Upcoming Events
SEC Rules of Practice and
Rules on Fair Fund and
Disgorgement Plans
Forms (PDF Formats)
Concise Directory
Office of the Inspector
General
Data Quality Guidelines
FAIR Act
Laws & Regulations
Annual Report

Filings (EDGAR)
Regulatory Actions
Staff Interps
Investor Info
News & Statements
Litigation
Information for...
Divisions
Contact

- [Introduction](#)
- [Creation of the SEC](#)
- [Organization of the SEC](#)
- [Laws That Govern the Industry](#)

Introduction

The mission of the U.S. Securities and Exchange Commission is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

As more and more first-time investors turn to the markets to help secure their futures, pay for homes, and send children to college, our investor protection mission is more compelling than ever.

As our nation's securities exchanges mature into global for-profit competitors, there is even greater need for sound market regulation.

And the common interest of all Americans in a growing economy that produces jobs, improves our standard of living, and protects the value of our savings means that all of the SEC's actions must be taken with an eye toward promoting the capital formation that is necessary to sustain economic growth.

The world of investing is fascinating and complex, and it can be very fruitful. But unlike the banking world, where deposits are guaranteed by the federal government, stocks, bonds and other securities can lose value. There are no guarantees. That's why investing is not a spectator sport. By far the best way for investors to protect the money they put into the securities markets is to do research and ask questions.

The laws and rules that govern the securities industry in the United States derive from a simple and straightforward concept: all investors, whether large institutions or private individuals, should have access to certain basic facts about an investment prior to buying it, and so long as they hold it. To achieve this, the SEC requires public companies to disclose meaningful financial and other information to the public. This provides a common pool of knowledge for all investors to use to judge for themselves whether to buy, sell, or hold a particular security. Only through the steady flow of timely, comprehensive, and accurate information can people make sound investment decisions.

The result of this information flow is a far more active, efficient, and transparent capital market that facilitates the capital formation so important to our nation's economy. To insure that this objective is always being met, the SEC continually works with all major market participants, including especially the investors in our securities markets, to listen to their concerns and to learn from their experience.

The SEC oversees the key participants in the securities world, including securities exchanges, securities brokers and dealers, investment advisors, and mutual funds. Here the SEC is concerned primarily with promoting the disclosure of important market-related information, maintaining fair dealing, and protecting against fraud.

Crucial to the SEC's effectiveness in each of these areas is its enforcement authority. Each year the SEC brings hundreds of civil enforcement actions against individuals and companies for violation of the

Division of Trading and Markets

The Division of Trading and Markets assists the Commission in executing its responsibility for maintaining fair, orderly, and efficient markets. The staff of the Division provide day-to-day oversight of the major securities market participants: the securities exchanges; securities firms; self-regulatory organizations (SROs) including the Financial Industry Regulatory Authority (FINRA), the Municipal Securities Rulemaking Board (MSRB), clearing agencies that help facilitate trade settlement; transfer agents (parties that maintain records of securities owners); securities information processors; and credit rating agencies.

The Division also oversees the Securities Investor Protection Corporation (SIPC), which is a private, non-profit corporation that insures the securities and cash in the customer accounts of member brokerage firms against the failure of those firms. It is important to remember that SIPC insurance does not cover investor losses arising from market declines or fraud.

The Division's additional responsibilities include:

- carrying out the Commission's financial integrity program for broker-dealers;
- reviewing (and in some cases approving, under authority delegated from the Commission) proposed new rules and proposed changes to existing rules filed by the SROs;
- assisting the Commission in establishing rules and issuing interpretations on matters affecting the operation of the securities markets; and
- surveilling the markets.

Division of Investment Management

The Division of Investment Management assists the Commission in executing its responsibility for investor protection and for promoting capital formation through oversight and regulation of America's \$26 trillion investment management industry. This important part of the U.S. capital markets includes mutual funds and the professional fund managers who advise them; analysts who research individual assets and asset classes; and investment advisers to individual customers. Because of the high concentration of individual investors in the mutual funds, exchange-traded funds, and other investments that fall within the Division's purview, the Division of Investment Management is focused on ensuring that disclosures about these investments are useful to retail customers, and that the regulatory costs which consumers must bear are not excessive.

The Division's additional responsibilities include:

- assisting the Commission in interpreting laws and regulations for the public and SEC inspection and enforcement staff;
- responding to no-action requests and requests for exemptive relief;
- reviewing investment company and investment adviser filings;
- assisting the Commission in enforcement matters involving investment companies and advisers; and
- advising the Commission on adapting SEC rules to new circumstances.

Division of Enforcement

First and foremost, the SEC is a law enforcement agency. The Division of Enforcement assists the Commission in executing its law enforcement function by recommending the commencement of investigations of securities law violations, by recommending that the Commission bring civil actions in federal court or before an administrative law judge, and by prosecuting these cases on behalf of the Commission. As an adjunct to the SEC's civil enforcement authority, the Division works closely with law enforcement agencies in the U.S. and around the world to bring criminal cases when appropriate.

The Division obtains evidence of possible violations of the securities laws from many sources,

including market surveillance activities, investor tips and complaints, other Divisions and Offices of the SEC, the self-regulatory organizations and other securities industry sources, and media reports.

All SEC investigations are conducted privately. Facts are developed to the fullest extent possible through informal inquiry, interviewing witnesses, examining brokerage records, reviewing trading data, and other methods. Once the Commission issues a formal order of investigation, the Division's staff may compel witnesses by subpoena to testify and produce books, records, and other relevant documents. Following an investigation, SEC staff present their findings to the Commission for its review. The Commission can authorize the staff to file a case in federal court or bring an administrative action. In many cases, the Commission and the party charged decide to settle a matter without trial.

Common violations that may lead to SEC investigations include:

- misrepresentation or omission of important information about securities;
- manipulating the market prices of securities;
- stealing customers' funds or securities;
- violating broker-dealers' responsibility to treat customers fairly;
- insider trading (violating a trust relationship by trading on material, non-public information about a security); and
- selling unregistered securities.

Whether the Commission decides to bring a case in federal court or within the SEC before an administrative law judge may depend upon the type of sanction or relief that is being sought. For example, the Commission may bar someone from the brokerage industry in an administrative proceeding, but an order barring someone from acting as a corporate officer or director must be obtained in federal court. Often, when the misconduct warrants it, the Commission will bring both proceedings.

- **Civil action:** The Commission files a complaint with a U.S. District Court and asks the court for a sanction or remedy. Often the Commission asks for a court order, called an injunction, that prohibits any further acts or practices that violate the law or Commission rules. An injunction can also require audits, accounting for frauds, or special supervisory arrangements. In addition, the SEC can seek civil monetary penalties, or the return of illegal profits (called disgorgement). The court may also bar or suspend an individual from serving as a corporate officer or director. A person who violates the court's order may be found in contempt and be subject to additional fines or imprisonment.
- **Administrative action:** The Commission can seek a variety of sanctions through the administrative proceeding process. Administrative proceedings differ from civil court actions in that they are heard by an administrative law judge (ALJ), who is independent of the Commission. The administrative law judge presides over a hearing and considers the evidence presented by the Division staff, as well as any evidence submitted by the subject of the proceeding. Following the hearing the ALJ issues an initial decision that includes findings of fact and legal conclusions. The initial decision also contains a recommended sanction. Both the Division staff and the defendant may appeal all or any portion of the initial decision to the Commission. The Commission may affirm the decision of the ALJ, reverse the decision, or remand it for additional hearings. Administrative sanctions include cease and desist orders, suspension or revocation of broker-dealer and investment advisor registrations, censures, bars from association with the securities industry, civil monetary penalties, and disgorgement.

Offices

Office of the General Counsel

The General Counsel is appointed by the Chairman as the chief legal officer of the Commission, with overall responsibility for the establishment of agency policy on legal matters. The General Counsel serves as the chief legal advisor to the Chairman regarding all legal matters and services performed within, or involving, the agency, and provides legal advice to the Commissioners, the Divisions, the

The Office of Compliance Inspections and Examinations administers the SEC's nationwide examination and inspection program for registered self-regulatory organizations, broker-dealers, transfer agents, clearing agencies, investment companies, and investment advisers. The Office conducts inspections to foster compliance with the securities laws, to detect violations of the law, and to keep the Commission informed of developments in the regulated community. Among the more important goals of the examination program is the quick and informal correction of compliance problems. When the Office finds deficiencies, it issues a "deficiency letter" identifying the problems that need to be rectified and monitor the situation until compliance is achieved. Violations that appear too serious for informal correction are referred to the Division of Enforcement.

Office of International Affairs

The SEC works extensively in the international arena to promote cooperation among national securities regulatory agencies, and to encourage the maintenance of high regulatory standards worldwide. The Office of International Affairs assists the Chairman and the Commission in the development and implementation of the SEC's international regulatory and enforcement initiatives. The Office negotiates bilateral and multilateral agreements for Commission approval on such subjects as regulatory cooperation and enforcement assistance, and oversees the implementation of such arrangements. It is also responsible for advancing the Commission's agenda in international meetings and organizations. The Office also conducts a technical assistance program for countries with emerging securities markets, which includes training both in the United States and in the requesting country. Over 100 countries currently participate in this program.

Office of Investor Education and Advocacy

The Office of Investor Education and Advocacy assists the Commission in ensuring that in all of the agency's activities, the SEC is truly "the Investor's Advocate." The Office serves individual investors by seeing to it that their problems and concerns are known throughout the SEC and considered the first priority whenever the agency takes action. The Office has four main functional areas:

The **Office of Policy and Investor Outreach** has responsibility for reviewing all formal agency action from the perspective of the individual investor, including conducting investor surveys and focus groups. It plays a leading role in the Commission's efforts to ensure that investor disclosures are written in plain English, as well as as the agency's technology initiatives such as providing increasingly more investor information in "interactive data" format.

The **Office of Investor Advocacy** has responsibility for acting on investor tips, complaints and suggestions. Tens of thousands of investors contact the SEC each year using the agency's online forms or our (800) SEC-0330 hotline (toll-free in U.S.) to ask questions on a wide range of securities-related topics, to complain about problems with their investments or their financial professionals, or to suggest improvements to the agency's regulations and procedures. Trained SEC specialists and attorneys in the Office of Investor Advocacy provide these investors with information, seek informal resolutions of their complaints, and pass on their good ideas to the Commission and appropriate agency's staff. Tips concerning possible law violations are passed on to the Enforcement Division for investigation. And trend information from investor reports of illegal or abnormal activity provides critical intelligence to other SEC offices and divisions. Investors can use the agency's online forms to file a complaint or ask a question.

The **Office of Investor Education** carries out the SEC's investor education program, which includes producing and distributing educational materials, participating in educational seminars and investor-oriented events, and partnering with federal agencies, state regulators, consumer groups, industry associations, and others on financial literacy initiatives. With the impending retirement of some 76 million Baby Boomers, one of the primary focuses of these educational efforts is the prevention of fraud against seniors.

The **Office of Public Documents** answers public requests for information, including those under the Freedom of Information Act (FOIA), and executes the agency's responsibilities under the Privacy Act. The Office makes all of the SEC's public records — including registration statements and reports filed by regulated companies and individuals, SEC decisions and releases, staff manuals, no-action and interpretive letters, and public comments on proposed rules — available through the Public Reference facilities located at SEC Headquarters (and many of these documents are also available on the SEC web site at <http://www.sec.gov>). The Office also handles public requests for non-public records, such as records compiled in investigations, consumer complaints, and staff comment letters, under FOIA. The Office will release non-public records unless they are protected by an exemption in FOIA. In cases where the staff can reasonably segregate or delete exempt information from a requested record, they

orders, and actions taken by SEC staff pursuant to delegated authority. In addition, it receives and tracks documents filed in administrative proceedings, requests for confidential treatment, and comment letters on rule proposals. The Office is responsible for publishing official documents and releases of Commission actions in the *Federal Register* and the *SEC Docket*, and it posts them on the SEC Internet website, www.sec.gov. The Office also monitors compliance with the Government in the Sunshine Act.

Office of Equal Employment Opportunity

Because the SEC's employees are its most important resource, the Office of Equal Employment Opportunity works to ensure that the agency's professional staff come from diverse backgrounds that reflect the diversity of the investing public. Equal employment opportunity at the SEC is a continuing commitment. To maintain neutrality in resolving disputes, the EEO Office is independent of any other SEC office. The EEO Director reports to the Chairman. The primary mission of the EEO Office is to prevent employment discrimination, including discriminatory harassment, so that all SEC employees have the working environment to support them in their efforts to protect investors, maintain healthy markets, and promote capital formation.

Office of the Inspector General

The Office of the Inspector General conducts internal audits and investigations of SEC programs and operations. Through these audits and investigations, the Inspector General seeks to identify and mitigate operational risks, enhance government integrity, and improve the efficiency and effectiveness of SEC programs.

Office of Administrative Law Judges

The Commission's Office of Administrative Law Judges consists of independent judicial officers who conduct hearings and rule on allegations of securities law violations in cases initiated by the Commission. When the Commission initiates a public administrative proceeding, it refers the cases to the Office, where it is assigned to an individual Administrative Law Judge (ALJ). The ALJ then conducts a public hearing that is similar to a non-jury trial in the federal courts. Just as a federal judge can do, an ALJ issues subpoenas, rules on motions, and rules on the admissibility of evidence. At the conclusion of the hearing, the parties submit proposed findings of fact and conclusions of law. The ALJ prepares an initial decision that includes factual findings and legal conclusions that are matters of public record. Parties may appeal an initial decision to the Commission, which can affirm, reverse, modify, set aside or remand for further proceedings. Appeals from Commission action are to a United States Court of Appeals.

The Laws That Govern the Securities Industry

Securities Act of 1933

Often referred to as the "truth in securities" law, the Securities Act of 1933 has two basic objectives:

- require that investors receive financial and other significant information concerning securities being offered for public sale; and
- prohibit deceit, misrepresentations, and other fraud in the sale of securities.

The full text of this Act is available at: <http://www.sec.gov/about/laws/sa33.pdf>.

Purpose of Registration

A primary means of accomplishing these goals is the disclosure of important financial information through the registration of securities. This information enables investors, not the government, to make informed judgments about whether to purchase a company's securities. While the SEC requires that the information provided be accurate, it does not guarantee it. Investors who purchase securities and suffer losses have important recovery rights if they can prove that there was incomplete or inaccurate disclosure of important information.

The Registration Process

In general, securities sold in the U.S. must be registered. The registration forms companies file provide essential facts while minimizing the burden and expense of complying with the law. In general, registration forms call for:

- a description of the company's properties and business;
- a description of the security to be offered for sale;
- information about the management of the company; and
- financial statements certified by independent accountants.



All companies, both domestic and foreign, must file their registration statements electronically. These statements and the accompanying prospectuses become public shortly after filing, and investors can access them using EDGAR. Registration statements are subject to examination for compliance with disclosure requirements.

Not all offerings of securities must be registered with the Commission. Some exemptions from the registration requirement include:

- private offerings to a limited number of persons or institutions;
- offerings of limited size;
- intrastate offerings; and
- securities of municipal, state, and federal governments.

By exempting many small offerings from the registration process, the SEC seeks to foster capital formation by lowering the cost of offering securities to the public.

Securities Exchange Act of 1934

With this Act, Congress created the Securities and Exchange Commission. The Act empowers the SEC with broad authority over all aspects of the securities industry. This includes the power to register, regulate, and oversee brokerage firms, transfer agents, and clearing agencies as well as the nation's securities self regulatory organizations (SROs). The various stock exchanges, such as the New York Stock Exchange, and American Stock Exchange are SROs. The National Association of Securities Dealers, which operates the NASDAQ system, is also an SRO.

The Act also identifies and prohibits certain types of conduct in the markets and provides the Commission with disciplinary powers over regulated entities and persons associated with them.

The Act also empowers the SEC to require periodic reporting of information by companies with publicly traded securities.

Corporate Reporting

Companies with more than \$10 million in assets whose securities are held by more than 500 owners must file annual and other periodic reports. These reports are available to the public through the SEC's EDGAR database.

Proxy Solicitations

The Securities Exchange Act also governs the disclosure in materials used to solicit shareholders' votes in annual or special meetings held for the election of directors and the approval of other corporate

STATE OF CALIFORNIA
COUNTY OF SAN LUIS OBISPO

I am the party of the above entitled actions, a citizen of the United States, over the age of eighteen years and a resident of San Luis Obispo County. My current address is:

Brian Schaeffer, CDCR No: F-947302,
California Men's Colony-West
P.O. Box 8103 / Unit 11 Dorm 22 Bed 11,
San Luis Obispo, California 93403-8103

I CERTIFY (OR DECLARE), UNDER THE PENALTY OF PERJURY, THAT THE FOREGOING IS TRUE AND CORRECT.
EXECUTED ON 8-28-08 AT SAN LUIS OBISPO, CALIFORNIA, 93403-8103.

Brian Schaeffer
PETITIONER (Signature)

PROOF OF SERVICE BY MAIL

STATE OF CALIFORNIA
COUNTY OF SAN LUIS OBISPO

I am the party of the above entitled actions, a citizen of the United States, over the age of eighteen years and a resident of San Luis Obispo County. My current address is:

Brian Schaeffer, CDCR No: F-947302,
California Men's Colony-West
P.O. Box 8103 / Unit 11 Dorm 22 Bed 11,
San Luis Obispo, California 93403-8103

ON 8-28-08 I SERVED THE WITHIN San Luis Obispo, California
TO THE RECIPIENT Michael Schaeffer AT 450 Pennsylvania Ave. NW, Washington, D.C. 20546-0001.
ON THE PARTY: Michael Schaeffer

IN SAID ACTION, BY PLACING A TRUE COPY THEREOF IN A SEALED ENVELOPE WITH POSTAGE THEREON PREPAID, IN THE UNITED STATES MAIL AT CALIFORNIA MEN'S COLONY, SAN LUIS OBISPO, CA 93403-8103, ADDRESS AS FOLLOWS:

Michael Schaeffer
450 Pennsylvania Ave. NW, Washington, D.C. 20546-0001

SECURITY and EXCISE TAX COMMISSION
450 Pennsylvania Ave. NW, Washington, D.C. 20546-0001

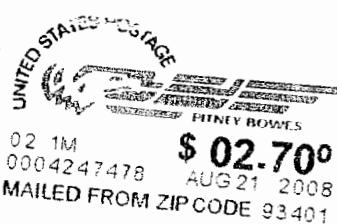
450 Pennsylvania Ave. NW, Washington, D.C. 20546-0001

I CERTIFY (OR DECLARE), UNDER THE PENALTY OF PERJURY, THAT THE FOREGOING IS TRUE AND CORRECT.
EXECUTED ON 8-28-08 AT SAN LUIS OBISPO, CALIFORNIA, 93403-8103.

Brian Schaeffer

DECLARANT (Signature)

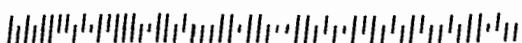
CALIFORNIA MEN'S COLONY
STATE PRISON
18 OBISPO CA 93409



Family

-2701

RECEIVED
AUG 27 2008
U.S. DISTRICT COURT
CLERK, U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA



UNITED STATES DISTRICT COURT, NORTHERN DISTRICT OF CALIFORNIA
CIVIL COVER SHEETI (a) PLAINTIFFS (Check box if you are representing yourself)

BRUCE SENATOR

(b) County of Residence of First Listed Plaintiff (Except in U.S. Plaintiff Cases):

(c) Attorneys (Firm Name, Address and Telephone Number. If you are representing yourself, provide same.)

Bruce Senator Esq.
California Hunt Company
P.O. Box 5703
San Luis Obispo, CA 93403-5703

DEFENDANTS

United States of America

Defenders and Exchange Committee

County of Residence of First Listed Defendant (In U.S. Plaintiff Cases Only):

II. BASIS OF JURISDICTION (Place an X in one box only.)

1 U.S. Government Plaintiff 3 Federal Question (U.S. Government Not a Party)
 2 U.S. Government Defendant 4 Diversity (Indicate Citizenship of Parties in Item III)

III. CITIZENSHIP OF PRINCIPAL PARTIES - For Diversity Cases Only.
(Place an X in one box for plaintiff and one for defendant.)

	PTF	DEF	PTF	DEF
Citizen of This State	<input type="checkbox"/> 1	<input type="checkbox"/> 1	Incorporated or Principal Place of Business in this State	<input type="checkbox"/> 4 <input type="checkbox"/> 4
Citizen of Another State	<input type="checkbox"/> 2	<input type="checkbox"/> 2	Incorporated and Principal Place of Business in Another State	<input type="checkbox"/> 5 <input type="checkbox"/> 5
Citizen or Subject of a Foreign Country	<input type="checkbox"/> 3	<input type="checkbox"/> 3	Foreign Nation	<input type="checkbox"/> 6 <input type="checkbox"/> 6

IV. ORIGIN (Place an X in one box only.)

1 Original Proceeding 2 Removed from State Court 3 Remanded from Appellate Court 4 Reinstated or Reopened 5 Transferred from another district (specify): 6 Multi-District Litigation 7 Appeal to District Judge from Magistrate Judge

V. REQUESTED IN COMPLAINT: JURY DEMAND: Yes No (Check 'Yes' only if demanded in complaint.)CLASS ACTION under F.R.C.P. 23: Yes No MONEY DEMANDED IN COMPLAINT: \$ 1,000

VI. CAUSE OF ACTION (Cite the U.S. Civil Statute under which you are filing and write a brief statement of cause. Do not cite jurisdictional statutes unless diversity.)

28 U.S.C. § 1331 All other federal statutes and regulations

VII. NATURE OF SUIT (Place an X in one box only.)

OTHER STATUTES	CONTRACT	TORTS	TORTS	PRISONER PETITIONS	LABOR
<input type="checkbox"/> 400 State Reapportionment	<input type="checkbox"/> 110 Insurance	<input type="checkbox"/> PERSONAL INJURY	<input type="checkbox"/> PERSONAL PROPERTY	<input type="checkbox"/> 510 Motions to Vacate Sentence	<input type="checkbox"/> 710 Fair Labor Standards Act
<input type="checkbox"/> 410 Antitrust	<input type="checkbox"/> 120 Marine	<input type="checkbox"/> 310 Airplane	<input type="checkbox"/> 370 Other Fraud	<input type="checkbox"/> 720 Labor/Mgmt. Relations	
<input type="checkbox"/> 430 Banks and Banking	<input type="checkbox"/> 130 Miller Act	<input type="checkbox"/> 315 Airplane Product Liability	<input type="checkbox"/> 371 Truth in Lending	<input type="checkbox"/> 730 Labor/Mgmt. Reporting & Disclosure Act	
<input type="checkbox"/> 450 Commerce/ICC Rates/etc.	<input type="checkbox"/> 140 Negotiable Instrument	<input type="checkbox"/> 320 Assault, Libel & Slander	<input type="checkbox"/> 380 Other Personal Property Damage	<input type="checkbox"/> 740 Railway Labor Act	
<input type="checkbox"/> 460 Deportation	<input type="checkbox"/> 150 Recovery of Overpayment & Enforcement of Judgment	<input type="checkbox"/> 330 Fed. Employers' Liability	<input type="checkbox"/> 385 Property Damage Product Liability	<input type="checkbox"/> 790 Other Labor Litigation	
<input type="checkbox"/> 470 Racketeer Influenced and Corrupt Organizations	<input type="checkbox"/> 151 Medicare Act	<input type="checkbox"/> 340 Marine	<input type="checkbox"/> 390 BANKRUPTCY	<input type="checkbox"/> 791 Empl. Ret. Inc. Security Act	
<input type="checkbox"/> 480 Consumer Credit	<input type="checkbox"/> 152 Recovery of Defaulted Student Loan (Excl. Veterans)	<input type="checkbox"/> 345 Marine Product Liability	<input type="checkbox"/> 422 Appeal 28 USC 158	<input type="checkbox"/> 820 Copyrights	
<input type="checkbox"/> 490 Cable/Sat TV		<input type="checkbox"/> 350 Motor Vehicle	<input type="checkbox"/> 423 Withdrawal 28 USC 157	<input type="checkbox"/> 830 Patent	
<input type="checkbox"/> 810 Selective Service		<input type="checkbox"/> 355 Motor Vehicle Product Liability	<input type="checkbox"/> 432 CIVIL RIGHTS	<input type="checkbox"/> 840 Trademark	
<input checked="" type="checkbox"/> 850 Securities/Commodities /Exchange	<input type="checkbox"/> 153 Recovery of Overpayment of Veteran's Benefits	<input type="checkbox"/> 360 Other Personal Injury	<input type="checkbox"/> 441 Voting	<input type="checkbox"/> 861 HIA (1395ft)	
<input type="checkbox"/> 875 Customer Challenge 12 USC 3410	<input type="checkbox"/> 160 Stockholders' Suits	<input type="checkbox"/> 362 Personal Injury-Med Malpractice	<input type="checkbox"/> 442 Employment	<input type="checkbox"/> 862 Black Lung (923)	
<input type="checkbox"/> 890 Other Statutory Actions	<input type="checkbox"/> 190 Other Contract	<input type="checkbox"/> 365 Personal Injury-Product Liability	<input type="checkbox"/> 443 Housing/Accommodations	<input type="checkbox"/> 863 DIWC/DIWW (405(g))	
<input type="checkbox"/> 891 Agricultural Act	<input type="checkbox"/> 195 Contract Product Liability	<input type="checkbox"/> 368 Asbestos Personal Injury Product Liability	<input type="checkbox"/> 444 Welfare	<input type="checkbox"/> 864 SSID Title XVI	
<input type="checkbox"/> 892 Economic Stabilization Act	<input type="checkbox"/> 196 Franchise		<input type="checkbox"/> 445 American with Disabilities - Employment	<input type="checkbox"/> 865 RSI (405(g))	
<input type="checkbox"/> 893 Environmental Matters			<input type="checkbox"/> 446 American with Disabilities - Other	<input type="checkbox"/> 867 FEDERAL TAX SUITS	
<input type="checkbox"/> 894 Energy Allocation Act			<input type="checkbox"/> 440 Other Civil Rights	<input type="checkbox"/> 870 Taxes (U.S. Plaintiff or Defendant)	
<input type="checkbox"/> 895 Freedom of Info. Act				<input type="checkbox"/> 871 IRS-Third Party 26 USC 7609	
<input type="checkbox"/> 900 Appeal of Fee Determination Under Equal Access to Justice					
<input type="checkbox"/> 950 Constitutionality of State Statutes					

VIII(a). IDENTICAL CASES: Has this action been previously filed and dismissed, remanded or closed? No Yes

If yes, list case number(s):

FOR OFFICE USE ONLY: Case Number: _____

UNITED STATES DISTRICT COURT, CENTRAL DISTRICT OF CALIFORNIA
CIVIL COVER SHEET

AFTER COMPLETING THE FRONT SIDE OF FORM CV-71, COMPLETE THE INFORMATION REQUESTED BELOW.

VIII(b). RELATED CASES: Have any cases been previously filed that are related to the present case? No Yes

If yes, list case number(s): _____

Civil cases are deemed related if a previously filed case and the present case:

(Check all boxes that apply) A. Arise from the same or closely related transactions, happenings, or events; or
 B. Call for determination of the same or substantially related or similar questions of law and fact; or
 C. For other reasons would entail substantial duplication of labor if heard by different judges; or
 D. Involve the same patent, trademark or copyright, and one of the factors identified above in a, b or c also is present.

IX. VENUE: List the California County, or State if other than California, in which EACH named plaintiff resides (Use an additional sheet if necessary)

 Check here if the U.S. government, its agencies or employees is a named plaintiff.*San Luis Obispo County*

List the California County, or State if other than California, in which EACH named defendant resides. (Use an additional sheet if necessary).

 Check here if the U.S. government, its agencies or employees is a named defendant.*San Francisco City (SECURITIES AND EXCHANGE COMMISSION)
San Francisco City (SECURITIES AND EXCHANGE COMMISSION)*

List the California County, or State if other than California, in which EACH claim arose. (Use an additional sheet if necessary)

Note: In land condemnation cases, use the location of the tract of land involved.

*On Highway 17, Contra Costa County*X. SIGNATURE OF ATTORNEY (OR PRO PER): *Brian Smith* Date *8/28/2008*

Notice to Counsel/Parties: The CV-71 (JS-44) Civil Cover Sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law. This form, approved by the Judicial Conference of the United States in September 1974, is required pursuant to Local Rule 3-1 is not filed but is used by the Clerk of the Court for the purpose of statistics, venue and initiating the civil docket sheet. (For more detailed instructions, see separate instructions sheet.)

Key to Statistical codes relating to Social Security Cases:

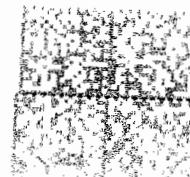
Nature of Suit Code	Abbreviation	Substantive Statement of Cause of Action
861	HIA	All claims for health insurance benefits (Medicare) under Title 18, Part A, of the Social Security Act, as amended. Also, include claims by hospitals, skilled nursing facilities, etc., for certification as providers of services under the program. (42 U.S.C. 1935FF(b))
862	BL	All claims for "Black Lung" benefits under Title 4, Part B, of the Federal Coal Mine Health and Safety Act of 1969. (30 U.S.C. 923)
863	DIWC	All claims filed by insured workers for disability insurance benefits under Title 2 of the Social Security Act, as amended; plus all claims filed for child's insurance benefits based on disability. (42 U.S.C. 405(g))
863	DIWW	All claims filed for widows or widowers insurance benefits based on disability under Title 2 of the Social Security Act, as amended. (42 U.S.C. 405(g))
864	SSID	All claims for supplemental security income payments based upon disability filed under Title 16 of the Social Security Act, as amended.
865	RSI	All claims for retirement (old age) and survivors benefits under Title 2 of the Social Security Act, as amended. (42 U.S.C. (g))

**U.S. BANKRUPTCY COURT
NORTHERN DISTRICT OF CALIFORNIA
POST OFFICE BOX 7341
SAN FRANCISCO, CA 94120-7341**

**OFFICIAL BUSINESS
PENALTY FOR PRIVATE USE \$300**

RECEIVED
AUG 27 2008
RICHARD W. WICKING
CLERK U.S. DISTRICT COURT
NORTHERN DISTRICT OF CALIFORNIA

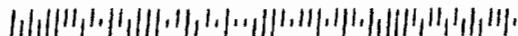
U. S.
450 S
San



U.S. POSTAGE
\$1.689

POSTAGE
2008

District Court
101 Golden Gate Ave. (16th Floor)
San Francisco, CA. 94102



CALIFORNIA MEN'S COLONY STATE PRISON
P.O. BOX 8101
SAN LUIS OBISPO, CA 93409-8101

Name: Bruce Senator
CDCR #: F99302 Cell #: 4/22/37-(

STATE PRISON
GENERATED MAIL

Clerk of the C
U.S. District Cour
Northern Dist of
235 Pine St.
San Francisco Ca.
94